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Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal

Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade

Stockholm Convention on Persistent Organic Pollutants

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Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal
Twelfth meeting
Geneva, 4–15 May 2015
Item 4 (f) of the provisional agenda*
Matters related to the implementation of the Convention: financial resources

Conference of the Parties to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade
Seventh meeting
Geneva, 4–15 May 2015
Item 5 (e) of the provisional agenda**
Matters related to the implementation of the Convention: financial resources

Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants
Seventh meeting
Geneva, 4–15 May 2015
Item 5 (g) of the provisional agenda***
Matters related to the implementation of the Convention: financial resources and mechanisms

Facilitating financial resources for chemicals and wastes

Note by the Secretariat

I. Introduction

1. At their simultaneous extraordinary and ordinary meetings held in May 2013, the conferences of the parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants discussed agenda items pertaining to financial resources for chemicals and wastes under the three conventions and adopted several interrelated decisions on the matter as detailed in the present note.

2. At their second simultaneous extraordinary meetings, the conferences of the parties to the Basel, Rotterdam and Stockholm conventions adopted the omnibus decision BC.Ex-2/1, RC.Ex-2/1 and SC.Ex-2/1, on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions. In section VII of the 2013 omnibus decision, reference is made to facilitating financial resources for chemicals and wastes.

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* UNEP/CHW.12/1.
** UNEP/FAO/RC/COP.7/1.
*** UNEP/POPS/COP.7/1.

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3. In paragraphs 34 and 35 of the 2013 omnibus decision, the conferences of the parties welcomed Governing Council decision 27/12, section VIII, on the consultative process on financing options for chemicals and wastes, and joined the Governing Council in welcoming an integrated approach to addressing the financing of the sound management of chemicals and wastes. The integrated approach consists of three mutually reinforcing components: mainstreaming, industry involvement and dedicated external finance.

4. In paragraph 42 of the same decision, the conferences of the parties requested the Executive Secretary to ensure that the secretariats' activities and support to parties under the Basel, Rotterdam and Stockholm conventions take as reference such an integrated approach, to report on progress in implementing the three mutually reinforcing components of the approach and to highlight challenges in mobilizing financial resources within these components, for consideration and possible recommendation by the conferences of the parties at their next meetings.

5. At its eleventh meeting, the Conference of the Parties to the Basel Convention adopted decision BC-11/18, on the implementation of the relevant decisions of the Conference of the Parties on resource mobilization and sustainable financing, which is closely related to the 2013 omnibus decision.

6. In paragraph 4 of that decision, the Conference of the Parties requested the Secretariat to continue its efforts to build the capacity of the Basel Convention regional and coordinating centres to mobilize resources in their regions and to facilitate discussions with project partners and donors with the aim of developing projects. In the same paragraph, it requested the Secretariat to report to the Conference of the Parties at its twelfth meeting on progress made in mobilizing resources for the implementation of the Convention.

7. It also requested the Secretariat to facilitate discussions with the Global Environment Facility and the participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals in order to ensure that provisions relevant to the Basel Convention were taken into account in the development of technical assistance projects and activities in follow-up to decision VIII/34.

8. It further requested the Secretariat to strengthen cooperation with other relevant international and regional organizations and donors with the aim of developing projects and to explore further joint activities to mobilize resources for the implementation of the Basel, Rotterdam and Stockholm conventions.

9. Similarly, at its sixth meeting the Conference of the Parties to the Rotterdam Convention adopted decision RC-6/10, on the follow-up to decision RC-5/11 on progress made in the implementation of decision RC-3/5 on possible options for lasting and sustainable financial mechanisms.

10. In paragraph 2 of that decision, the Conference of the Parties requested the Secretariat to continue its collaboration with relevant partners, such as the Global Environment Facility and its implementing agencies and the participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals, to ensure that provisions relevant to the Rotterdam Convention were taken into account in the development of technical assistance projects and activities in follow-up to decision RC-3/5.

II. Implementation

11. In response to the requests set out in paragraph 42 of the 2013 omnibus decision, the Executive Secretary continues to ensure that the Secretariat's activities and support to parties under the Basel, Rotterdam and Stockholm conventions take as reference an integrated approach.

12. A checklist has been developed with a view to providing secretariat staff with background information and guidance on how their activities may take as reference the various aspects of the approach (UNEP/CHW.12/INF/33-UNEP/FAO/RC/COP.7/INF/18-UNEP/POPS/COP.7/INF/34, annex). The checklist has been used for developing activities for the proposed programmes of work and budgets of the biennium 2016–2017 and when reporting on the implementation of activities for the biennium 2014–2015. The checklist has been used for the preparation of budget activity fact sheets for the biennium 2016–2017 (see UNEP/CHW.12/INF/38-UNEP/FAO/RC/COP.7/INF/24-UNEP/POPS/COP.7/INF/44). A reference has been added to the respective sections of the budget activities in case a planned activity has the potential to promote the implementation of the three mutually reinforcing components of the approach. The checklist could be adapted and used by other entities as a template for the implementation of the approach at the regional and national levels.

13. The Secretariat has also undertaken activities that support the implementation of the three mutually reinforcing components of the approach: mainstreaming, industry involvement and dedicated external finance. Examples are provided below that outline the outcomes of the activities that have been implemented through the technical assistance programme[1] and other activities of the Secretariat. Also included, as appropriate, are challenges experienced in mobilizing financial resources within these components.

14. As regards the implementation of the mainstreaming component, the Secretariat has received funds from donors for developing country parties and parties with economies in transition to support activities aimed at increasing synergies between the three conventions at the regional and national levels and to tackle specific technical issues linked to the obligations of the parties under the conventions, for example on reporting, monitoring, phasing out chemicals, managing waste streams covered under the conventions and introducing alternatives to listed chemicals. The Secretariat involved the regional centres of the Basel and Stockholm conventions in the execution of related projects and programmes to build and strengthen regional expertise on chemicals and waste issues. All activities support the implementation of the chemicals and wastes agenda and contribute to mainstreaming chemicals and waste issues at the regional and national levels. However, implementation of the work programme of the Secretariat, as adopted by the conferences of the parties, is dependent upon the successful fundraising of voluntary contributions to the trust funds of the conventions.

15. As regards the implementation of the industry involvement component, the Secretariat has supported the work of two partnerships related to e-waste with the active involvement of the producing and recycling industries, namely, the Mobile Phone Partnership Initiative and the Partnership for Action on Computing Equipment. Both partnerships were driven by parties to the Basel Convention and the industries that were involved from the beginning in the set-up and implementation of the partnership activities. The partnerships received sufficient technical and financial support from countries and the private sector so that their work programme, including face-to-face meetings and pilot projects, could be implemented on time. Other partnerships, such as the PCBs Elimination Network and the DDT Global Alliance, which were initiated by parties to the Stockholm Convention to serve as information exchange networks, received funding from donors in the start-up phase and mostly in-kind contributions from the private sector. Possibilities for extending the work programmes to include studies and pilot projects were therefore limited.

16. The special programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management is an element of the dedicated external finance component of the integrated approach. By its resolution 1/5, the first United Nations Environment Assembly of UNEP adopted the terms of reference for the special programme, annexed to that resolution, to be funded by voluntary contributions. Section II of resolution 1/5 and the terms of reference for the special programme are set out in the annex to document UNEP/CHW.12/INF/34-UNEP/FAO/RC/COP.7/INF/19-UNEP/POPS/COP.7/INF/35 for the information of the conferences of the parties.

17. In the context of the preparations for the review of the operations of the Basel Convention implementation fund by the eleventh meeting of the Conference of the Parties to the Basel Convention, the Committee for Administering the Mechanism for Promoting Implementation and Compliance with the Basel Convention agreed to include in its proposed work programme for 2016–2017 the development of recommendations on priority areas for institutional strengthening under the Basel Convention and to bring these to the attention of the executive board of the special programme. The Committee also agreed to include in its proposed work programme the consideration of other options for cooperation with the special programme. Both recommendations will be submitted to the Conference of the Parties at its twelfth meeting for consideration and possible adoption.[2] The draft work programme and other matters related to the Committee are set out in the note by the Secretariat on the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention (UNEP/CHW.12/9).

18. At the invitation of UNEP, the Secretariat of the Basel, Rotterdam and Stockholm conventions is a member of the internal task team on the special programme, which has been established to, among other things, build on internal expertise and experience in the administration of similar programmes,

[1] Further described in the report on capacity-building and training activities undertaken by the Secretariat (UNEP/CHW.12/INF/22-UNEP/FAO/RC/COP.7/INF/14-UNEP/POPS/COP.7/INF/17).

[2] Paragraphs 10 (a) and 52 of the report of the meeting (UNEP/CHW.CC.11/16).

identify lessons learned and best practices and prepare the operationalization of the special programme.

19. Pursuant to decisions BC-11/18 and RC-6/10, the Secretariat facilitated discussions with the Global Environment Facility and the participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals to ensure that provisions relevant to the Basel and Rotterdam conventions were taken into account in the development of technical assistance projects and activities, in follow-up to decisions VIII/34 and RC-3/5.

20. The Secretariat has performed its facilitating role under the Basel and Rotterdam conventions in the context of its interactions with the Global Environment Facility on matters related to the financial mechanism of the Stockholm Convention. A detailed description of the Secretariat's work with the Facility is set out in the note by the Secretariat on the report on the effectiveness of the implementation of the memorandum of understanding between the Conference of the Parties and the Council of the Facility (UNEP/POPS/COP.7/22). A description of the work of the Secretariat with the participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals is set out in the note by the Secretariat on activities pertaining to international cooperation and coordination (UNEP/CHW.12/INF/31-UNEP/FAO/RC/COP.7/INF/20-UNEP/POPS/COP.7/INF/41).

21. Pursuant to decision BC-11/18, the Secretariat continued its efforts to build the capacity of the Basel Convention regional and coordinating centres to mobilize resources in their regions and to facilitate discussions with project partners and donors with the aim of developing projects to be implemented at the national or regional levels. A description of the work of the Secretariat on this matter is set out in the notes by the Secretariat on the regional centres under the Basel and Stockholm conventions (UNEP/CHW.12/12 and UNEP/POPS/COP.7/11).

22. Pursuant to the same decision, the Secretariat, by implementing its joint resource mobilization strategy, continued strengthening its cooperation with other relevant international and regional organizations and donors with the aim of developing projects to be implemented at the regional or country level and to explore further joint activities to mobilize resources for the implementation of the Basel, Rotterdam and Stockholm conventions. A description of the work of the Secretariat on the implementation of its joint resource mobilization strategy is set out in the note by the Secretariat on the implementation of joint activities contained in the 2014–2015 programme budgets of the Basel, Rotterdam and Stockholm conventions for 2014 (UNEP/CHW.12/INF/45-UNEP/FAO/RC/COP.7/INF/31-UNEP/POPS/COP.7/INF/51).

III. Proposed action

23. Each Conference of the Parties may wish to adopt a decision along the following lines:

The Conference of the Parties

1. *Takes note* of the information presented in the note by the Secretariat;[3]

2. *Joins* the United Nations Environment Assembly in welcoming an integrated approach to addressing the financing of the sound management of chemicals and wastes, underscoring that the three components of an integrated approach, mainstreaming, industry involvement and dedicated external finance, are mutually reinforcing and are all important for the financing of the sound management of chemicals and waste at all levels;

3. *Welcomes* United Nations Environment Assembly resolution 1/5, by which the Assembly established the special programme to support institutional strengthening at the national level for the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management, and looks forward to the early start of its operations;

4. *Recognizes* that it is the responsibility of the respective conferences of the parties to keep under continuous review and evaluation the implementation of the Basel, Rotterdam and Stockholm conventions;

5. *Considers* that a main objective of the special programme is to support institutional strengthening at the national level to facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions and urges the United Nations Environment Assembly to cooperate with the conferences of the parties and, as appropriate, their subsidiary bodies to ensure that relevant activities are mutually reinforcing;

[3] UNEP/CHW.12/20-UNEP/FAO/RC/COP.7/14-UNEP/POPS/COP.7/26.

6. *Decides* to provide, including through its relevant subsidiary bodies, recommendations to the Executive Board on priority areas for institutional strengthening at the national level for the Basel, Rotterdam and Stockholm conventions and to explore other possible areas of cooperation with the special programme;

7. *Invites* the United Nations Environment Assembly to consider requesting the executive board of the special programme to take into account the recommendations set out in the annex to the present decision as well as those developed by its subsidiary bodies;

8. *Welcomes* the participation of the Secretariat of the Basel, Rotterdam and Stockholm conventions in the internal task team on the special programme, requests the Secretariat to perform the executive board secretariat functions with respect to the Basel, Rotterdam and Stockholm conventions, and invites the Executive Director of the United Nations Environment Programme to make the necessary arrangements to that end;

9. *Joins* the United Nations Environment Assembly in encouraging Governments in a position to do so, as well as the private sector, including industry, foundations, other non-governmental organizations and other stakeholders, to mobilize financial resources for the fast and effective establishment and start of the implementation of the special programme;

10. *Requests* the Executive Secretary to continue to ensure that the activities of the Secretariat and its support to parties under the Basel, Rotterdam and Stockholm conventions take as reference the integrated approach;

11. *Requests* the Secretariat to prepare a report on the impact of the implementation of the integrated approach for consideration and possible recommendations by the conference of the parties at its next meeting, noting that the report shall also include, as appropriate, a follow-up to decisions VIII/34 and RC-3/5;

12. *Also requests* the Secretariat to report back to the Conference of the Parties at its next meeting on the implementation of the elements of the present decision pertaining to the special programme.

Annex to decision [BC-12/[ ]] [SC-7/[ ]] [RC-7/[ ]]

Recommendations by the Conference of the Parties to the special programme

[*To be inserted*]